



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

Health and Family Services Cabinet
Agency

March 13, 2008
Schedule Date

Office of the Ombudsman
Unit

Change Date

March 13, 2008
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Sandra Brock
Agency Head

3/18/08
Date of Approval

Sonya Taylor
Agency Records Officer

3/18/08
Date of Approval

Sankara Teyu
State Archivist and Records Administrator
Director, Public Records Division

13 March 08
Date of Approval

Wayne Oulst
Chairman, State Archives and Records Commission

13 March 2008
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Pam Compton
Records Analyst/Regional Administrator

13 March 08
Date of Approval

Jim Taylor
Appraisal Archivist

March 13, 2008
Date of Approval

[Signature]
State/Local Records Branch Manager

13 Mar 08
Date of Approval

The determination as set forth meets with my approval.

Michael Brandy
Auditor of Public Accounts

March 13, 2008
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: March 13, 2008

STATE AGENCY RECORDS
RETENTION SCHEDULE

Cabinet for Health and Family Services
Office of the Ombudsman

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05544	Quality Control Case Reviews - Food Stamps (C) KRS 205.175; KRS 61.878 (1) (a)	KRS Chapter 194A.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the statutory requirements is the implementation and administration of the Food Stamp Program in accordance with federal mandates as stated in 7 U.S.C. 2020 (e)(2)(B). This series documents randomly selected reviews of food stamp recipients completed by the Office's Quality Control Analysts. The reviews are performed to determine the State's compliance with Federal reporting requirements. The information is used to prepare Quality Control reviews and reports that are the basis of receipt of federal funds for the Food Stamp program. The reviews are also the basis for the policy and procedures that are necessary to provide an eligible Food Stamp Program to the State's indigent citizens.	This series may contain: Department of Community Based Services case files, Case reviews and summary of contents and conclusion of assigned analyst, correspondence, applications, and income information.	Agency: 2 years	Records Center: 1 year	Archives Center:
				Transfer to State Records Center		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Office of the Ombudsman
Complaint Review Branch

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04145	Client Review File (Includes: Ombudsman Information Sheet and Correspondence) (C) KRS 620.050 and KRS 205.175	This series documents the actions (investigations and responses) of the Ombudsman's Office as it serves the Cabinet for Health and Family Services (CHFS). The Complaint Review Branch provides a means to review citizen complaints of the services of CHFS when those complaints cannot be resolved through normal administrative remedies. Research is conducted by ombudsman staff to respond to a complaint or inquiry. They will make referrals, or may intercede on behalf of the client to solve a problem. Problems may be concerned with any program area, e.g., Food Stamps, medical assistance, birth certificates. The file is created when correspondence is received. Most cases are handled within twenty -four (24) hours; however, a few cases may take as long as a month to resolve, but rarely longer than that.	Client's correspondence, notes, and worker response	Agency: 2 years	Records Center: 3 years	Archives Center:
				Transfer to the State Records Center		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Office of the Ombudsman
Performance Enhancement Branch
Quality Assurance

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05706	Non-Hearable Protection and Permanency Appeal Requests (C) KRS 620.050 and KRS 61.878 (1) (a)	<p>This series documents the review of cases involving protection of children. KRS Chapter 194 A.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the statutory requirements is the delivery of child protective services, including procedures for appealing and responding to appeals regarding substantiated reports of abuse and neglect. Appeal rights are also afforded to those citizens who believe they are being denied services by the Cabinet. Per 922 KAR 1:480 Section 2, a person who has been found by CHFS to have abused or neglected a child may appeal CHFS's finding through an administrative hearing. Likewise, 922 KAR 1:320 Section 2 provides appeal rights to those who believe they are being denied services by CHFS.</p> <p>The Quality Assurance Section processes all incoming DPP-155 (Division of Permanency and Protection), Child Abuse Prevention and Treatment Act (CAPTA) and DPP -154 (Service Appeal) administrative hearing requests. After gathering material from the Department of Community Based Services client file, some requests are determined to be ineligible for a hearing under 922 Kentucky Administrative Regulation 1:480 Section 4 and 922 KAR 1:320 Section 3. A denial letter stating the matter is not appealable through an administrative hearing is sent to the client and the case is filed as being "non-hearable/denied". This series documents the requests that not appealable pursuant to requirements stated in 922 KAR 1:480 Section 4 and 922 KAR 1:320 Section 3.</p>	<p>This series may include: Skeletal record of protection and permanency Department of Community Based Services' client files due to hearing request and correspondence, excerpts from the protection and permanency case record, and court documentation related to the case.</p>	Agency: 3 years	Records Center: 3 years	Archives Center:
				Transfer to the State Records Center, then destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Office of the Ombudsman
Quality Control Branch

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05705	Quality Control Case Reviews - Medicaid (C) KRS 205.175; KRS 61.878 (1) (a); HIPPA	KRS 194A.010 defines the duties and functions of the Cabinet for Health and Family Services (CHFS). One of the regulatory duties included is the responsibility to administer the State's Medicaid Program. Pursuant to 42 CRF 43 Subpart E and KRS Chapter 205, CHFS shall conduct reviews of the Medicaid Program to ensure proper management of the program and conduct measures necessary or useful in controlling fraud and abuse. This series documents those reviews. These reviews are completed monthly by the Quality Control Analysts and prepared to determine the correctness of benefits received by clients and whether appropriate actions were taken by Department of Community Based Service workers.	Series may contain: Department of Community Based Services Clients' files which state name, home address, Social Security number, date of birth, medical history and expenses, correspondence, Quality Control Review Findings	Agency: I	Records Center: 1	Archives Center:
				Retain in Agency for 1 year after closure, transfer to the State Records Center then destroy after audit		